

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## COMPLETION OF FILING NATIONAL PHASE OF PCT APPLICATION

UNDER RULE 35 USC 371 AND 37 CFR 1.494(C) OR 1.495(C)

09/529597

BOX PCT

COMPLETION  
For PCT Cases Only

In re PATENT APPLICATION of

Inventor(s): ASAI et al.

Attn: Application Division

Appln. No.: 09 529,597  
Series Code ↑ Serial No. ↑Atty. Dkt. PM 266966 7021P-U  
M# Client Ref

National Phase Field

Based on PCT JP98 04350  
↑ Country Code & Year

Title: PACKAGE SUBSTRATE

Date: May 31, 2000

## FILING OF ITEM(S) LATE IN PCT/USA NATIONAL CASE

Asst. Commissioner of Patents  
Washington, DC 20231

Sir:

The following completes the filing of the subject application under Rule 494(c)/495(c). Please accept the following attached items:

1. Missing Requirements Notice (PCT/DO/EO/905) ☒ copy attached ☐ not yet received
2. ☒ Signed Declaration ☒ Original ☐ Facsimile/Copy ☐ with spec/claims attached
3. ☐ Translation of the International Application into English including:
  - a. ☐ Request;
  - b. ☐ Abstract
  - c. \_\_\_ pgs. Spec. and Claims;
  - d. ☐ Translation verification
  - e. \_\_\_ sheets Drawing which are: ☐ informal ☐ formal of size ☐ A4 ☐ 11"
4. ☐ Copy of International Search Report (ISR) attached (\_\_\_ page(s))
  - a. ☐ plus Annex of family members (\_\_\_ page(s))
5. Information Disclosure Statement including
  - a. ☐ From PTO-1449 listing documents
  - b. ☐ Copies of document(s) listed on Form PTO-1449
  - c. ☐ A concise explanation of ISR references is given in the ISR
6. ☒ Assignment and cover sheet. Please return the recorded assignment to the undersigned.
7. ☐ Copy of Power to international application agent.
8. \_\_\_ (No.) Small Entity Statement(s) establishing "small entity" status under Rules 9 & 27.
9. ☐ Formal Drawings: \_\_\_ sheet(s) ☐ informal; ☐ formal of size: ☐ A4 ☐ 11"
10. ☒ Please immediately start national examination procedures (35 USC 371(f))

11. ☐ Attached:
12. ☐ Preliminary Amendment:
13. ☒ Basic U.S. National fee per Rule 492(a)(1)-(4) was previously timely filed.:
14. **Calculation of remaining fees due (if any):** based on amended claim(s) per above item  
☐ 12 (above) or item(s) in PAT-112 (filed previously) ☐ 12 ☐ 14 ☐ 17 ☐ 25
15. **CLAIMS FEES** ☐ previously paid ☒ paid herewith as follows:
- 15A. Small Entity Statement ☐ Herewith ☐ Previously Filed

				Large/Small Entity		Fee Code
16. Total Effective Claims	8	minus 20 =	0	x \$18/\$9	+0	966/967
17. Independent Claims	8	minus 3 =	5	x \$78/\$39	+390	964/965
18. If <u>any proper</u> multiple dependent claim (ignore improper) is present,				\$260/\$130	+0	968/969
19. Filing Declaration late, fee paid <input type="checkbox"/> previously <input checked="" type="checkbox"/> now				\$130/\$65	+130	154/254
20. SUBTOTAL					\$520	
21. Original due date: June 18, 2000						
22. Petition is hereby made to extend the <b>original</b> due date to cover the date this response is filed for which the requisite fee is attached				(1 mo)	\$110/\$55 =	+0
				(2mos)	\$380/\$190 =	
				(3mos)	\$870/\$435 =	
				(4mos)	\$1360/\$680 =	
23. If "non-English" box 3 is X'd, add Rule 17(k) processing fee . . . . .				\$130	+0	139
24. If "assignment" box 6 is X'd, add recording fee. . . . .				\$40	+40	581
25. TOTAL FEE ENCLOSED =					\$560	

(Our Deposit Account No. 03-3975)


(Our Order No. 41226 | 266966)  
C# M#

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficient fee only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown above for which purpose a duplicate copy of this sheet is attached.

This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

**Pillsbury Madison & Sutro LLP**  
**Intellectual Property Group**

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Ninth Floor  
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GJP/nmw

By Atty: Glenn J. Perry Reg. No. 28458  
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**NOTE: File in duplicate with PTO receipt (PAT-103A) and attachments**



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: ASSISTANT COMMISSIONER FOR PATENTS  
Box PCT  
Washington, D.C. 20231

PCT

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
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09/529597

ASAI

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PM266966

PILLSBURY MADISON & SUTRO  
1100 NEW YORK AVENUE NW  
NINTH FLOOR  
WASHINGTON, DC 20005 3918

**DUE ON**

**JUN 18 2000**

INTERNATIONAL APPLICATION NO.

PCT/JP98/04350

I.A. FILING DATE

PRIORITY DATE

28 SEP 98

17 OCT 97

DATE MAILED: **18 MAY 2000**

#12

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as

- ☐ a Designated Office (37 CFR 1.494),  
☒ an Elected Office (37 CFR 1.495):

☒ U.S. Basic National Fee.

☒ Copy of the international application in:

- ☒ a non-English language.  
☐ English.

☒ Translation of the international application into English.

☐ Oath or Declaration of inventor(s) for DO/EO/US.

☐ Copy of Article 19 amendments.

☐ Translation of Article 19 amendments into English.

☒ The International Preliminary Examination Report in English and its Annexes, if any.

☐ Translation of Annexes to the International Preliminary Examination Report into English.

☐ Preliminary amendment(s) filed \_\_\_\_\_ and \_\_\_\_\_

☒ Information Disclosure Statement(s) filed 17 APR 2000 and \_\_\_\_\_

☐ Assignment document.

☐ Power of Attorney and/or Change of Address.

☐ Substitute specification filed \_\_\_\_\_

☐ Verified Statement Claiming Small Entity Status.

☒ Priority Document.

☒ Copy of the International Search Report ☒ and copies of the references cited therein.

☐ Other:

2. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

☐ a. Translation of the application into English. Note a processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.

☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.

☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).

☒ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the international application number and international filing date.

☐ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.

☒ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

3. Additional claim fees of \$ \_\_\_\_\_ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due. See attached PTO-875.

**ALL OF THE ITEMS SET FORTH IN 2(a)-2(d) AND 3 ABOVE MUST BE SUBMITTED WITHIN ONE MONTH FROM THE DATE OF THIS NOTICE OR BY ☐ 21 OR ☒ 31 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

4. Translation of the Annexes **MUST** be submitted no later than the time period set above or the annexes will be cancelled. Note processing fee will be required if submitted later than 30 months from the priority date.

5. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application number shown above (37 CFR 1.5)

**A copy of this notice MUST be returned with this response.**

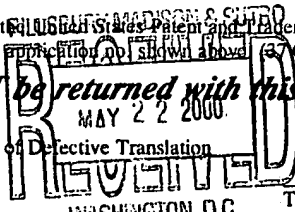
Enclosed:

☐ PCT/DO/EO/917

☐ Notice of Defective Translation

☐ PTO-875

FORM PCT/DO/EO/905 (December 1997)



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WASHINGTON, D.C.